

# **North Carolina Department of Secretary of State**

## **Information Technology Plan For 2014-2016 Biennium**

**By**

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# 1 INTRODUCTION

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## 1.1 PURPOSE

The purpose of this document is to provide agency data for the Information Technology Plan for the 2014-2016 Biennium to the North Carolina State Chief Information Officer (SCIO) as required by G.S. 147-33.72B. The statute mandates that each agency submit a technology plan to the SCIO by October 1 of each even-numbered year. The State Information Technology Plan (Plan) is required to cover a five-year time period. To properly inform the Plan, agency plans are also required to cover a five-year time period.

## 1.2 ROADMAP

Goal	Objective	Initiative	Description	Funding Mechanism
Goal 1 Maintain a state-of-the-art IT system for business document filings and continuous real-time online access to business information for the public.	Objective 1.1 Ensure IT applications provide efficient and reliable service.	Initiative 1.1.1	Upgrade hardware and software as necessary	Expansion budget request
		Initiative 1.1.2	Monitor IT resource utilizations levels and adjust/fine-tune as necessary.	
	Objective 1.2 Ensure access to customers' PII remains secure and private.	Initiative 1.2.1	Enforce IT security standards and best practices for online applications.	Expansion Budget Request
	Objective 1.3 Maintain transparency and reduce or eliminate paper file storage space requirements.	Initiative 1.3.1	Replace current paper document retention requirements with electronic document requirements.	
Goal 2 Advance the delivery of e-government services to the citizens to maximize	Objective 2.1 Initiate new e-government services.	Initiative 2.1.1	Convert more paper form processes to e-forms processes.	Budget request
		Initiative 2.1.2		

Goal	Objective	Initiative	Description	Funding Mechanism
government accessibility and efficiency.				
	Objective 2.2 Identify customer demands for additional e-government services	Initiative 2.2.1	Review customer survey results to identify suggestions and opportunities for new or expanded e-government services	
Goal 3 Work closely with our customers to ensure that we understand and respond to their needs in a courteous and professional manner	Objective 3.1 Evaluate the levels of service being provided by the Department.	Initiative 3.1.1	Continue regular customer surveys rating levels of service provided to customers.	
	Objective 3.2 Provide helpful, accurate, and up-to-date information at division websites.	Initiative 3.2.1	Ensure division websites are informative, accurate, and up-to-date.	Budget request

## 2 DEPARTMENT OF SECRETARY OF STATE IT PLAN EXECUTIVE SUMMARY

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The Department of the Secretary of State is the second oldest state government office in North Carolina. The citizens of North Carolina elect the secretary of state that heads the department, to a four-year term. The secretary of state is a constitutional officer and member of the Council of State.

The primary purpose of the Department of the Secretary of State is to serve and protect the citizens, the business community, and government agencies by facilitating business activities, providing accurate and timely information, preserving public documents and records, and protecting the public from investment, charitable solicitation, notary public, and intellectual property fraud. The primary users of the department's services are law firms, accounting firms, banks, financial institutions, courts, county registers of deeds, media outlets, citizens, businesses, and other government agencies.

The mission of the North Carolina Department of the Secretary of State is to promote economic growth and protect the public trust. The Department does this by: promoting financial capital formation, increasing transparency with accurate and timely business and government information, fighting business fraud committed against citizens and businesses, supporting a competitive and ethical business climate, and furnishing other government entities needed data and information.

The employees envision the Department as a nationally recognized, trusted, accountable, and agile leader in:

- Creating a level playing field for financial capital formation by providing responsive, innovative and free access to quality data;
- Fighting business fraud by appropriate licensing, enforcement, and administration of uniform laws, and ensuring the integrity of filings and reported data;
- Promoting public access to, and transparency of, governmental and business records; and
- Collaborating with other governmental entities to fulfill individual and shared missions.

The departmental values promoted by the Secretary are:

- |                                  |                      |
|----------------------------------|----------------------|
| 1. Strong Customer Service       | 5. Innovation        |
| 2. Competence                    | 6. Teamwork          |
| 3. Ethical behavior              | 7. Mutual Respect    |
| 4. Open, Effective Communication | 8. Staff Development |

## 3 GUIDANCE

### 3.1 SCIO GUIDANCE

#### IT Vision

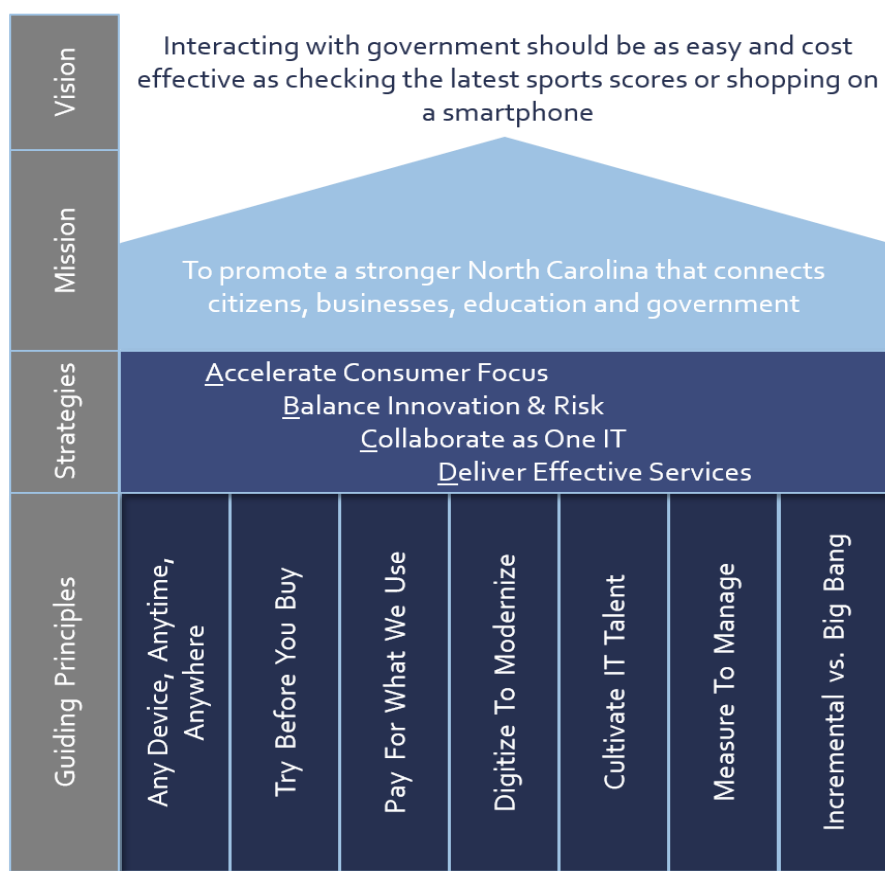
Making government services more accessible and efficient for all consumers is the foundation of the One IT strategy.

#### IT Mission

Promoting a stronger North Carolina that connects citizens, businesses, education, and government is the mission of IT.

#### IT Strategies

Strategies focus organizations to achieve complicated goals or objectives. With an eye to the future while sustaining current foundational requirements, the SCIO has adopted the “ABC” strategy to fix and modernize IT.



*IT Vision, Mission, and Strategies*

Strategy	Intended to:
<b>A.</b> Accelerate Consumer Focus	Embrace the consumerization of IT with a focus on the requirements of the consumer of technology
<b>B.</b> Balance Innovation and Risk	Try newer technologies while managing enterprise risk
<b>C.</b> Collaborate as One IT	Work as a team to accomplish our mission
<b>D.</b> Deliver Effective Operations	Focus on achieving business outcomes through effective and efficient technology delivery

In addition to the seven guiding principles outlined above, the SCIO’s [Cabinet Unite IT Strategy](#) focuses strongly on collaborative IT governance, big data and analytics (to include, but not limited to, work with GDAC and GIS), IT operations, and innovation.



The table below outlines the six IT business capabilities and five IT organizational capabilities highlighted in the Cabinet Unite IT Strategy.

Business Capabilities	Organizational Capabilities
Digital Focus	Collaborative IT Governance
Big Data and Analytics	Strategic Planning and Architecture
Enterprise Resource Planning	IT Program and Project Management
Application and Service Modernization	Innovation
Risk Management and Security	Talent Development and Management
IT Operations	

Please consider these areas, along with the seven guiding principles and your agency-specific goals and objectives when creating agency IT goals and objectives.

## **4 DEPARTMENT OF SECRETARY OF STATE VISION, MISSION, VALUES AND GOALS**

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### **4.1 VISION**

The primary purpose of the Department of the Secretary of State is to serve and protect the citizens, the business community, and government agencies by facilitating business activities, providing accurate and timely information, preserving public documents and records, and protecting the public from investment, charitable solicitation, notary public, and intellectual property fraud.

The primary users of the department's services are law firms, accounting firms, banks, financial institutions, courts, county registers of deeds, media outlets, citizens, businesses, and other government agencies.

### **4.2 MISSION**

The mission of the North Carolina Department of the Secretary of State is to promote economic growth and protect the public trust. The Department does this by: promoting financial capital formation, increasing transparency with accurate and timely business and government information, fighting business fraud committed against citizens and businesses, supporting a competitive and ethical business climate, and furnishing other government entities needed data and information.

### **4.3 VALUES**

- |                                  |                      |
|----------------------------------|----------------------|
| 1. Strong Customer Service       | 5. Innovation        |
| 2. Competence                    | 6. Teamwork          |
| 3. Ethical behavior              | 7. Mutual Respect    |
| 4. Open, Effective Communication | 8. Staff Development |

### **4.4 AGENCY GOALS**

The Department's IT goals align concurrently with three specific business goals from the Department's Strategic Plan. Ultimately, the IT goals support the Department's desire to provide the customers with efficient, accurate, and reliable business information to use to make wise business decisions, prosper as a business, and provide more and better job opportunities for the citizens in the state.

## **5 DEPARTMENT OF SECRETARY OF STATE IT VISION, MISSION, AND VALUES**

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### **5.1 IT VISION**

That the Division of Information Technology be the driving force transforming agency services through innovative IT solutions and provide the Secretary of State employees the necessary tools to provide the best possible services to the citizens of North Carolina.

### **5.2 IT MISSION**

To enable Secretary of State to meet its goals effectively and efficiently by providing leadership in the application of information technology; delivering secure, innovative, and reliable technology solutions in the most responsive and effective manner; to continually improve access to information, to stimulate business activity; and to address the needs of North Carolina businesses and citizens.

### **5.3 IT VALUES**

Division of Information Technology values reliability, performance, and information security. We place customer service excellence, integrity, respect and communication as our highest goals.

## 6 DEPARTMENT OF SECRETARY OF STATE IT GOALS, OBJECTIVES AND INITIATIVES

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### 6.1 GOAL 1

#### **MAINTAIN STATE-OF-THE-ART SYSTEM**

The economy of North Carolina is enriched by rapid and secure access to financial capital by the business community. The Department of the Secretary of State is North Carolina's lead agency in helping to facilitate the generation of financial capital by the private sector business community.

The department accomplishes this through the secure collection, distribution, public disclosure, and dissemination of legislatively designated commercial information in as "transparent" manner as possible, both through employee processing and through very advanced Web electronic government applications.

#### 6.1.1 Objective 1

##### **Ensure IT applications provide efficient and reliable service**

The Department will ensure IT applications continue to provide efficient and reliable services to the customers. Web statistics reveal that customers use the Department's websites 24 hours/day, seven days/week to conduct business with the Department.

##### 6.1.1.1 Initiative 1

###### ***Upgrade hardware and software as necessary***

The Department will upgrade hardware and software to the latest IT infrastructure and IT security necessary to provide efficient and reliable IT services for the customers.

##### 6.1.1.2 Initiative 2

###### ***Monitor IT resource utilization levels and adjust as necessary***

The Department will monitor IT resource performance and utilization and adjust and fine-tune resource levels as necessary to meet customer demands. Server virtualization will be used to help balance resources.

#### 6.1.2 Objective 2

##### **ENSURE ACCESS TO CUSTOMERS' PII REMAINS SECURE AND PRIVATE**

Even though it is discouraged, customers sometimes file documents that contain personally identifying information (PII) that is protected from further disclosure by the State's confidentiality laws. The Department will ensure that access to customers' PII in Departmental databases remains secure and restricted.

##### 6.1.2.1 Initiative 1

###### ***Enforce IT security standards and best practices***

The Department will continue to enforce departmental and statewide IT security standards and industry best practices when developing and deploying online applications and when training employees at annual IT security training. Documents filed with PII will have the PII redacted from the public images provided via the websites.

### **6.1.3 Objective 3**

#### **Increase transparency and reduce or eliminate paper file storage space requirements**

The Department prides itself in delivering transparency with business documents and other information filed with the Department. The Department has a very active website, as revealed by the monthly page view statistics. The Department will maintain access to public records and reduce and/or eliminate space requirements for storing paper files.

#### **6.1.3.1 Initiative 1**

##### ***Replace paper document retention requirements with electronic requirements***

The Department will work with State Archives to replace current paper document retention requirements with retention requirements for existing electronic images of those documents. This will eliminate paper file storage requirements for millions of pages of documents that already exist as electronic images in our document management system and are accessible via the Department's website.

## **6.2 GOAL 2**

### **ADVANCE THE DELIVERY OF E-GOVERNMENT SERVICES**

The Department relies heavily upon e-government services to help deliver the statutorily mandated services assigned by the Legislature, level the playing field for remote and outlying businesses, and meet the demands of the customers. Today, more than fifty percent (50%) of the Department's business transactions are completed online by customers using efficient Web services.

Due to recent State government budget shortfalls and consequently reduced appropriations to the Department, there is a need to expand the use of and marketing of e-government services to our customers.

### **6.2.1 Objective 1**

#### **Initiate new e-government services**

Since 2000, the Department has offered e-government services to customers for filing many required documents. In the most recent fiscal year, more than half of most documents available for filing online were filed online by customers. In an effort to make more self-service opportunities for customers, the Department will initiate new e-government services. That will make doing business with the Department more efficient and convenient for the customers and the Department.

#### **6.2.1.1 Initiative 1**

##### ***Convert more paper form processes to e-form processes***

The Department will work to identify traditional paper form processes that require wet signatures on paper forms that are appropriate for developing new e-signature digital forms for online customers.

### **6.2.2 Objective 2**

#### **Identify customer demands for additional e-government services**

The management of the Department receives regular input from customers at association meetings, government functions, and other business settings about the services the Department provides and new e-government services customers would like for the Department to provide. In addition, twice each year, the Department solicits input from customers via online surveys.

#### **6.2.2.1 Initiative 1**

##### ***Identify opportunities for new and expanded e-government service***

The Department will review customer suggestions and survey results and identify customers' ideas for new or expanded e-government services from the Department.

### **6.3 GOAL 3**

#### **UNDERSTAND AND RESPOND TO CUSTOMER NEEDS**

In an effort to discover how customers viewed the level of service provided by the Department, one year ago, the Department started providing anonymous surveys to business customers. The Department randomly e-mails the online survey Web address for customers to visit to complete the survey. The purpose of the survey was to learn about their experiences when conducting business with the Department.

The positive responses and forward thinking ideas received from customers completing surveys pleased the Secretary and management in the Department. Many identified issues were acted upon, some ideas were implemented, and customers desiring a personal response were contacted. It is management's opinion that continuing this exercise, as a means to improve service delivery, helps to instill a high level of trust, integrity, and respect from customers executing business transactions with the Department.

#### **6.3.1 Objective 1**

##### **Measure the level of service being provided to customers**

The first value stressed by the Secretary in the values listed in Section 4.3 is strong customer service. Being a statewide elected official, the Secretary recognizes that customer service is important to voters when they go to the polls. Voters will remember poor customer service and it will likely influence the outcome of an election. The Department is committed to providing North Carolina citizens and businesses with excellent customer service. Shortcomings and inferior levels of service are addressed and corrected.

##### **6.3.1.1 Initiative 1**

##### ***Continue regular customer service surveys rating levels of service***

The Department is committed to continuing customer service surveys periodically (at least twice each year) to solicit anonymous feedback about the competency and level of service provided by our employees. The survey responses also provide management with ideas and suggestions about improving customer service.

#### **6.3.2 Objective 2**

##### **Provide helpful, accurate, and up-to date information at division websites**

The divisions will ensure that their website provides information helpful to customers by anticipating relevant information customers need to know to be able to successfully do business with the division. Employees are encouraged to document questions asked by customers and that documentation is used to populate and refresh the division's frequently asked questions (FAQ) on their website. The agency general council and division directors refresh websites with most recent legislation referenced on division websites after each legislative session

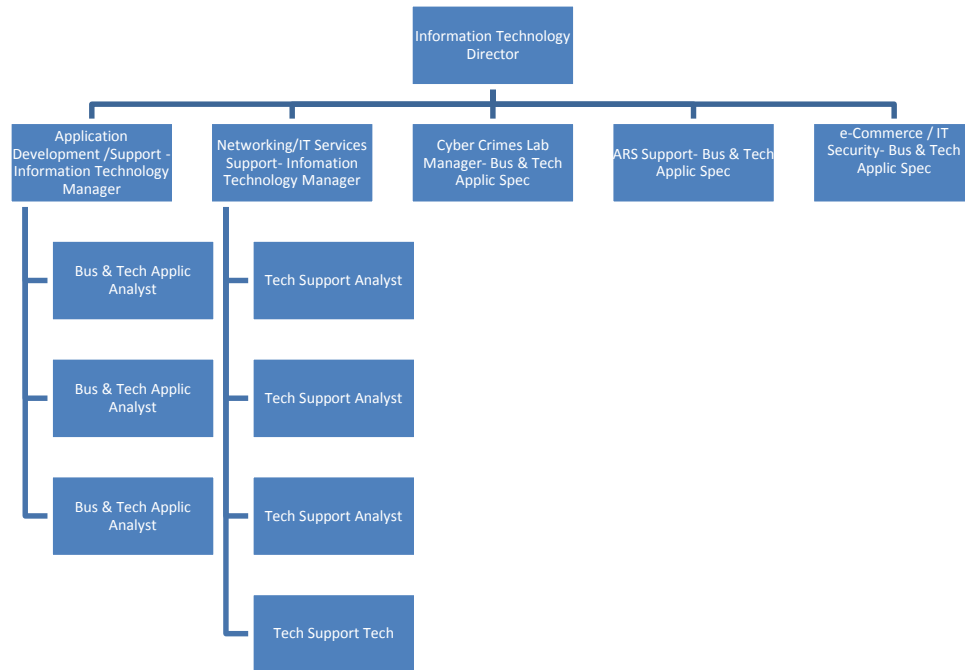
**6.3.2.1 Initiative 1**

***Ensure division websites are informative, accurate, and up-to-date***

The division directors will maintain up-to-date frequently asked questions on division websites, based on employees' notes about customers' questions regularly asked via front counter customer contacts, phone calls, and e-mails from customers. Division directors will also ensure division websites reference most currently passed legislation

## 7 DEPARTMENT OF SECRETARY OF STATE IT ORGANIZATIONAL STRUCTURE (REPORTING STRUCTURE)

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## **8 ADDITIONAL AGENCY REQUIREMENTS**

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### **8.1 INNOVATIVE FUNDING SOLUTIONS**

- 1. *Seized Assets***
- 2. *Grants***
- 3. *Fees***
- 4. *Partnerships***

### **8.2 OPPORTUNITIES FOR STATEWIDE INITIATIVES**

- 1. *Cyber Security Insurance***
- 2. *Gigabit Network***
- 3. *IT Training***

## *Appendix A: List of Major IT Projects*

This purpose of this section is to provide list of major IT projects and applications (>\$250,000) that are in progress or planned in this biennium. The table below maps each project to overall goals and strategies.

Project Name	Short Description	Related Goals and Objectives	Summary of Anticipated Benefits	Approximate Timeframe

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End of document

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